

**California State Library
Sacramento**

**INSTRUCTIONS FOR COMPLETING THE LIBRARY SERVICES AND TECHNOLOGY ACT (LSTA)
APPLICATION FORM (LSTA 6)**

LAST UPDATED: JUNE 2002

A. General Instructions

1. What kinds of projects qualify for grants?

Grants are awarded on a competitive basis for the funds available. Generally speaking, the broad goal of LSTA is to provide local assistance to all types of libraries in the areas of technology innovation, resource-sharing, multitype library networking, and targeted services to people who are underserved, disadvantaged, geographically isolated, illiterate, etc. Based on sections 212 and 231 of the Act, the California State Plan for use of LSTA funds, 1998 - 2002 was approved by the U.S. Institute of Museum and Library Services in September 1997. In the plan, four general, State-level purposes were defined for use of LSTA funds. They are:

- Free and convenient access to learning and information resources through libraries of all types for individuals of all ages.
- Library services available in all parts of the state that provide all users access, through state, regional, national and international electronic networks, to information resources they require to meet their diverse, changing, and expanding educational, economic, knowledge, social, cultural, recreational, and life fulfillment needs.
- Development and implementation of the necessary electronic and resource-sharing linkages among and between libraries to support California's multitype library network development.
- Promotion and enhancement of targeted library services to people of diverse geographic, cultural, and socioeconomic backgrounds; to individuals with disabilities; and to people with limited functional literacy or information skills.

These broad goals are intended to encourage flexibility, allowing grant decisions to be based on needs identified by the California library community. A new State Plan will be issued in July 2002.

See the LSTA Information Guide and Guidelines for Developing LSTA Grant Proposals for criteria for evaluating successful proposals and advice on program priorities the State Library is most likely to consider in making grant awards. The separate Instructions for Completing the Library Services and Technology Act Proposal Form (LSTA 5) also contains guidance on developing project concepts, descriptions, and plans. All are included in this application packet.

2. Who may submit an application?

All types of libraries, including academic, public, research, school, governmental agency libraries and information centers, and special and corporate libraries, may apply. "Public libraries" includes public library cooperative systems and State institutional libraries.

Projects involving multitype library networking must include active participation by more than one jurisdiction or provide benefit to more than one library (academic, public, school, state, special). Projects benefiting only one library or one type of library are less competitive.

An application may be submitted only if a proposal (LSTA Form 5) has previously been submitted in the same LSTA cycle. Applications are normally expected from jurisdictions that receive favorable advice from the State Library on the competitiveness of their proposals. However, an application may be submitted, and it will be considered, following notification about a proposal that was not recommended for the next stage.

3. What happens to the application?

All applications received by the due date are evaluated in a manner similar to the proposals. Applications received late will not be considered. Decisions on awards are made by the State Librarian. Projects receiving approval may include an alteration of the project budget or be subject to conditions required in the operation of the project. This information is conveyed to the applicant in an award letter, which also includes a required nondiscrimination clause addendum, a civil rights certificate, and a financial claim for first payment of award. The applicant indicates acceptance of the award with any changes or conditions by signing and returning these materials according to instructions. Applicants whose projects do not receive approval will be so notified by letter.

4. What is the project time period?

LSTA is operated during the state fiscal year, July 1 to June 30. Awards are made on a one-year basis only and are subject to the availability of federal funds. If a project requires more than one year, an application for continuation may be made during the next application/award cycle and will be considered with all other applications received for that year. Second and subsequent year applications must refer to and report on activities successfully completed in the prior year. Project funds not spent or encumbered by the closing date, September 30, may not be carried over for continuing project use but must be returned. Technically, an award is made on the date of signature by the State Librarian. If a project is ready to proceed or is already in operation, it may use the funds from the date of award through September 30 of the year of award. Separate accounting and reporting must be made for each year of a project's funding.

5. What makes the best presentation?

Read and follow instructions. Applications not prepared according to instructions will be rejected solely on that basis. Be concise, use simple and meaningful language, and avoid jargon. Check figures in budget columns carefully to assure that they add up. Make sure that the budget summary agrees with the program budget. Additional materials in promotion of the application may be included, such as letters of support, maps, statistics, etc., but in moderation: this application must be read along with many others in a brief space of time. Attach pages with a single staple or clip; do not hole-punch or bind your materials into a folder. More than one application may be submitted per jurisdiction, but the applicant is advised to consider its capability to operate multiple projects should more than one be funded, the cost of the projects, and indicate its priority among such projects.

6. What form should the application take?

The application must be typewritten or computer-printed on the accompanying form, **ONE SIDE ONLY**. Complete all the information sections required; if any is not applicable, state why. Legibility is essential. Leave adequate margins. If pages are typed, use no smaller than 12 point (10 pitch) type. The application may be prepared on a computer and submitted as a printout; however, the outline, headings, and data elements of this form must be maintained and all

information sections included. Submission by telefacsimile is not acceptable. Pages other than page 2 may vary in length. Further pages may be added for additional information to all sections except page 2, which must be completed in the space provided, on one page only.

7. When and where is the application due?

Submit the application in five copies, one with original signature. It is due by 4:30 p.m. on the date shown in the LSTA Planning Calendar (included with the application packet). Postmark is not acceptable. Regular or priority mail, or courier service, may be used. Address:

Library Development Services
Attn: Jay Cunningham
California State Library
P.O. Box 942837
Sacramento CA 94237-0001
(**Non-postal delivery:** 900 N Street, Suite 500, Sacramento CA 95814)

For information or assistance with the application, contact the State Library consultant assigned to your project or the Library Development Services Bureau at (916) 653-5217.

B. Application Line-by-line Instructions

1. **Fiscal year and project title.** At the top of the first page, enter the year for which you are applying for grant funds. Enter the name of the project as you wish it to appear on record. Be concise and descriptive, in moderate length. The project will be cited in lists and reports seen by readers who will not see the application and who will not know the purpose of the project except from the title. Spell out any acronyms used.

2. **Applicant organization/jurisdiction.** Enter the full legal name of the jurisdiction and/or library applying for funds. For schools, this should be the name of the school and the name of the district or entity to which the school belongs, if applicable. Do not place the names of any partner organizations on this line.

3. **Address.** Self-explanatory.

4. **Applicant contact/phone/fax/email.** Give the name of the individual preparing this application, or another person who may be contacted for information about it, together with the telephone number, fax and email. This may or may not be the representative of the jurisdiction legally authorized to apply for, and/or receive funds (i.e., the person who signs the certification on page 11).

5. **District.** Identify the numbers of the districts of the State Assembly, State Senate and U.S. House of Representatives in which project activities will be conducted. Please be precise – this information is used to inform legislators of grant activity. A good source is the county clerk.

6. **Population.** Figures should be from the U.S. Census, or more recent information maybe supplied if it is available locally. Identify any source of local information. "Client population" is the specific group that is to be served by the project (e.g., 1,500 children). "Total population" is the population served by the jurisdiction (e.g., 10,000 city residents). These may or may not be the same figure.

7. **Participants.** If jurisdictions other than the applicant will participate in this project and receive benefit from project funds, the authorized representative must sign and the library or agency

must be listed in the space provided; add pages if necessary. Letters of endorsement may be substituted for signatures.

8. LSTA amount. Enter the total amount of LSTA requested for this project, for one year only. Use whole dollar figures. Do not include on this line the total cost of the project activities, if local or other funds will be provided in addition to LSTA. If the project being applied for continues a prior LSTA project, indicate the year of the prior grant in the space provided.

9. Project summary. This is an abstract of your entire project. For example, it should start with an introduction such as “This project is intended to provide X by means of Y to Z [client group].” **Important: cite at the top of page 2 (by number only) the single Goal and predominant Outcome from the State Plan for LSTA that applies to your project.** The text must be read and understood by the State Librarian and staff, and others who may be called upon to evaluate your application. Complete your description in the space provided; do not include additional pages in this section. Briefly state client group needs, needs assessment process used, project goals, objectives, and activities. If appropriate, describe project components separately. Identify the project planning process used, including client and/or community involvement in its development. If libraries or organizations other than the applicant are participating, describe their involvement. Identify any special personnel or equipment required by the project. Explain the source of other-than-LSTA funds and/or in-kind contributions supporting the project. Note how project results will be evaluated and how the work of the project will be continued at the close of the federally-funded period.

Further information on criteria for evaluating LSTA projects is contained in Guidelines for Developing LSTA Grant Proposals, included in the application packet.

10. Budget Summary. This section should summarize the project budget, identifying LSTA funds requested and other monetary or in-kind contributions. Figures must agree with those on the program budget, pages 8 and 9. Use whole dollar figures. See the separate Federal Restrictions on Use of LSTA Funds in the application packet for information about expenses not permitted from grant funds.

Rows:

a. **Salaries & Benefits.** Enter the total of salaries and benefits for all project staff members to be on regular project payroll as employees, full-time or part-time. Do not include outside consultants; persons who are not employees of the applicants or partners but who are paid under contract for the project; or short-term temporary labor, equipment service contractors, etc., in this line. If a permanent library staff member is being assigned to the project for the grant period (because of special skills or knowledge, etc.), and grant funds are needed to cover a substitute to perform regular duties, explain that on page 10.

b. **Library Materials.** Enter the amount for library materials requested. Library materials are books, periodicals, tapes, videos, etc., for use primarily by the client group and, in most cases, to be added to the library's collections for circulation. Other types of materials needed by the project are considered supplies. Computer software and electronic database subscriptions are entered in line "c.", Operation.

c. **Operation.** Enter the total for operating expenses, including office and library supplies, postage and telecommunications, computer software and electronic database subscriptions, contract and maintenance expense, local travel, printing and public relations, training and conference

fees, and small equipment costing less than \$5,000, e.g. microcomputers. Include outside consultants, personnel who are not employees of the applicant or partners but who are paid under contract for the project, or short-term temporary labor identified as such.

d. **Equipment.** Enter a total of all “high-value” items costing over \$5,000 (\$5,001 and up). (System purchases, i.e. an integral personal computer configuration acquired as a package and which totals more than \$5,000, should be reported here. Do not report individual components here if less than \$5,000 each and not acquired as a unified configuration). Qualifying equipment must be inventoried and will be tracked by the state and federal government. It must be used for project purposes for five years or life of the equipment, whichever comes first, unless otherwise stipulated. (NOTE: items costing less than \$5,000 are considered small equipment and should be included in the operation budget line.)

e. **Total for Objectives.** Enter the totals of rows a.-d. and columns 1-4.

f. **Indirect Cost.** For the purpose of this application, the indirect cost is a charge against the LSTA funds requested, reimbursed in LSTA dollars to the recipient, to cover local administrative support for handling the funds and administering the project. If there are other administrative or overhead costs that the applicant wishes to credit against the project as a contribution to its support and in accord with local practice, these should be included under Other funds or In-kind as appropriate, in an item such as Operation. That entry might include a grant indirect cost allocation if required by the applicant's fiscal agent or jurisdiction. In line f., an amount not to exceed 10% of the LSTA program cost of the project may be requested (see Form 6, p. 3, line e., col. 1; and p. 9, line 19.e., col. 4).

This policy applies to all types of libraries. Generally, to qualify for indirect portion of a grant award applicants must have an approved cost allocation plan on file with the Secretary of State. The cost allocation plan should be based on the allowable costs structure indicated in the applicable U.S. Government Office of Management and Budget circulars. Applicants needing advice on how to comply with this policy should consult the State Library’s LSTA Coordinator.

g. **Total.** Enter the totals of columns 1 and 4 only.

Columns:

(1) **LSTA.** Enter the amount of LSTA funds requested.

(2) **Other funds.** Enter the total of all other financial support obligated to the project, including federal (other than LSTA), state/local grants or allocations, private grants, Friends, philanthropic support, and other funds. Include new library funds if they are budgeted specifically for this project. Do not list in-kind contributions here.

(3) **In-kind.** Enter the estimate of in-kind contributions from all participants in the project. In-kind contributions, to the extent that they are devoted exclusively to the conduct of this project, may include staff time, library materials and equipment, building space and utilities, and other operating costs.

(4) **Total.** Enter totals of rows a.-e. Note that while g.(4) is the total amount needed to perform the work of the project, the amount of LSTA funds requested in this application is entered in g.(1). Totals for cols. (1) and (4) will often be different due to the Indirect charge in row f., if taken.

NOTE: Additional pages may be added after Section 10.

11. Client needs and project goals. The number of persons who will be served by the project is called the client group. The goal of the project should be client-centered and address specific user needs, not just library staff interest. The user group should be involved from the beginning in the needs assessment process and in planning the project, and the application must show evidence of this input and involvement.

The project should connect the library's activity to a tangible user benefit or outcome. In some cases, the connection is indirect, for example, in training of librarians to assist users. A determination of the user needs must in any case be performed, preferably prior to submitting the project proposal (and definitely in advance of the project application), in order to allow adequate evaluation of the quality of the applicant's plan. Note that the "needs" specified are those of the users not the resources or activities required to conduct the project.

In this section, summarize the needs assessment process and results as well as the project goal(s) and objectives proposed to address those needs. What are the information and/or service needs of the community? Which of these can best be addressed by the library? How and where does the community seek information? What barriers do community members experience? What services, access and delivery mechanisms do people recommend? How will the project continue to gather client group input throughout the project period? An advisory body, if appropriate, should be in place before the filing of this application, and their advice and counsel should be sought in preparation of the application.

Provide a description of where the library service program to the client group stands now and what your goal for improvement is. Focus on how the user needs will be met by accomplishing your project's goals and objectives, and how the project activities will contribute to those ends. A goal is "the end toward which effort is directed." It is broad in scope, long range, and timeless. Conceivably, it may never be attained. It is not measurable. In grammatical terms, a goal is a noun, not a verb. (NOTE: the goals described in this section are the goals of the project itself, not the goals in the LSTA legislation which the project might serve.)

Examples of goals are:

- Access to all recorded information
- English literacy for all Americans

Your project should be limited to one or two goals.

12. Measurable objectives to reach goals. Most goals will have two or more objectives, which are sequential steps toward reaching the goal. An objective is "a strategic position to be attained or purpose to be achieved." Objectives show specific outcomes, and they must be measurable. They are also expressed as nouns. It is acceptable to have only one objective if the project scope is limited.

Examples of objectives are:

- 50 community volunteers will be recruited and trained to tutor 30 inmate adult learners in the county jail during 10 sessions and will attain 50% success
- 4,000 reference referral questions will be answered annually with an average turnaround time of two weeks, date of receipt to date of reply

An objective is reached by a series of actions in a time sequence. These words --- "goal," "objective," "action" --- are technical terms in the context of this grant program and are not

interchangeable.

13. Project actions in time sequence. An action is "the bringing about of an alteration, a thing accomplished over a period of time." A series of actions, such as hiring staff, selecting and purchasing materials, publicizing events, informing other participants, etc., will usually be required to achieve any specific objective. Actions are verbs, not nouns. The sequence of actions can be as important as the acts themselves, so a careful timeline must be developed and presented in the application. Flexibility must be built into a project as well, for events may cause the modification of actions, or even objectives, in mid-project. Experience has taught that the recruitment of personnel and dealing with contractors, e.g., for telephones or computers, can often take much longer than expected. Procurement of equipment through purchasing agents can also cause unexpected delays. Project activities should provide for contingencies with other work which may be carried on around some program element that is delayed.

The project year is normally the twelve (12) months from July 1 to June 30. If the grant award letter is signed before October 1, funded activity may begin at the actual date of award. However, LSTA funds cannot be used to pay for expenses incurred before the date on the award letter. Upon award, a State Library consultant will be assigned as project monitor with whom the new project should be immediately discussed. Among the usual first steps are: meeting with an advisory board, recruitment of staff, preparation of purchase orders for material and equipment, and local publicity of the award itself. Note that except in special cases, all equipment should be received and be in use at least six months into the project year or its necessity may be questioned.

14. Personnel requirements and staff training. Good staff are critical to any library program. This is an area where you should seek client or advisory group input, in setting personnel requirements and, perhaps, in the interview process itself. At the same time, be realistic about the need and the potential supply. Some grant recipients set the initial requirements so high that they are unable to find qualified applicants, throwing off the timeline and requiring later revisions in program and budget while the need for service remains unmet.

For each position to be hired by the project, a job description must be provided. It must be determined if the position is to be placed on regular project payroll (budgeted as salary) or obtained by contract with a firm or individual (budgeted as operation). Personnel regulations of the local jurisdiction may govern that choice, and that situation should be reflected in the application. An organization chart should be included which shows not only the lines of authority within the project but also the project's relationship to the host institution and to other participants.

The application must show a plan for staff training to provide new skills if required by the project and to properly maintain the program. Consider who will do the training: the project itself? an outside contractor? a library system or network? the State Library? This training frequently will require funding support. Bear in mind that training is seldom a one-time thing. Current staff members leave, new people join; and training must be repeated or refreshed. In addition, some types of training are sequential and must take place over a period of time.

15. Public relations plan. Most projects should include a public relations component to inform the community, and particularly the client group, about the new service. Working with an advisory board in designing an effective campaign can be essential. Good publicity is often expensive, so the project budget may need to include funds for printing, travel, meetings and related elements. All publicity must credit the LSTA as administered by the California State Library as a principal funding source. If a public relations program is not appropriate to this project, you should indicate in the application why it is not.

16. Statewide significance. Local library services should be locally funded and not require federal assistance. Your application will carry more weight if it has significance in the region, state, or nation beyond the benefit it will have locally. "Statewide significance" means either that other areas will take note of or will receive some benefit from your project, such as obtaining interlibrary loan access to a unique collection through the retrospective conversion of holdings or reviewing the demonstration of a new service delivery method, or that you will be able to provide guidance to others in how to replicate the project you conduct. You should consider what side effects, either good or bad, that are not included or intended in the program might be anticipated. This factor is related both to statewide significance and to evaluation.

17. Evaluation. The means by which project participants and others can verify a project's success and value to the community, or the extent to which its objectives have been achieved, must be a specific part of the application. State and federal governments require evidence that public funds are being spent in the public interest and in accordance with approved programs. Planning for evaluation must be developed at the same time as planning for the project itself: from the beginning. If you state you will hold five public forums with a total attendance of 2,000, a minimal evaluation would be that you did that and that they came. A meaningful evaluation, however, will include methods of determining if attendees learned anything from your forum, whether this was important to them, and if so, in what way. This is known as Outcomes-Based Evaluation; it will receive increasing priority in future grant years.

Good evaluation methods include pre- and post-project testing, analysis of statistics, surveys, and interviews. It is desirable to assess user opinion from the members of the client group and the advisory board. Such feedback should be gathered on a regular or continuous basis so that timely program modification, if indicated, can be made --- during the course of the project, if appropriate. Review by an outside evaluator may be necessary and, if so, the expense should be included in the budget.

The application must state what elements of the project will be evaluated, define the criteria for success and methods for testing, and describe how the information will be used. Primarily, you are seeking learning, behavior change, or action modification on the part of the client group that can be attributed to project functions.

18. Methods of continuation. LSTA is a limited-term funding source. It must not be counted upon for continuing operations and typically it funds projects of one to three years duration only. The federal funds are used as demonstration or "seed" money to begin a new service, test a new method, serve as a model, or accomplish a limited, specific objective. The application must state in what way project services will be continued at the end of the federally funded period. Evidence of clear and realistic consideration of continuation of the project will be a factor in evaluating each application.

Local continuation may be achieved by incorporating all or most activities into the ongoing locally funded program of the applicant jurisdiction. Perhaps other funding methods, or volunteer efforts, are planned. It may be acceptable that activities will cease, if it is shown that project objectives were completed.

Statewide continuation refers to the ways that the results of this project will be shared beyond the local jurisdiction. Project benefits may be long-term; a workshop or conference program may be presented; an article or publication may be prepared. If your project will produce a handbook or training manual, include a plan for its distribution and dissemination. It may be appropriate to budget funds for these activities.

19. Program budget. This section elaborates on the budget summarized on page 3 of the form. On this page and the next, a line-item budget for the project should be presented that adds detail to the budget summary. In the columns along the top of page 8, space is provided for up to three program objectives if needed. Name each column with a key word. Examples might be "Outreach," "Collections," and "Publicity." Separate the line item expenses (on the left side) matching the columns for each of the objectives. If columns are needed for more objectives, use additional pages (changing the column numbers accordingly), with sub-totals for each page. The budget in rows a.-g. is only for LSTA funds requested. Rows h. and i. may be used for non-LSTA funds applicable to the project.

In row a., list the salary budgeted for each project staff member under the appropriate objective(s), with their benefits as a percentage below. Subtotal this and the following sections.

In row b., list the amount for library materials by broad category (e.g., books, pamphlets, videotapes) under the appropriate objective. Do not include materials that are library supplies here.

In row c., list the amount for project operating expenses by objective. Use the pre-printed component lines as appropriate, and insert other expense lines not covered in the listed categories. Especially on computer- and telecommunications-related projects, list details on equipment costing \$5,000 or less.

On page 9, row d., list any equipment costing more than \$5,000. Give details and justification in para. 20, p. 10.

In row e. list the column sub-totals of LSTA funds per objective and the Total LSTA dollars for the program (excluding Indirect to be paid from LSTA) in col. 4 for all objectives.

In row f., list the amount of LSTA requested for indirect cost (defined on page 5 of these instructions). This must be entered in column (4) only.

In row g., summarize the total LSTA request including the sub-total for objectives (line e., col. 4), and the total LSTA Indirect, line f.

In row h., list the amount of any other actual funds that can be applied to the project. Do not list in-kind support here. These may be broken out by objective if applicable.

In row i., list the amount of in-kind support (defined on page 5 of these instructions). This may be broken out by objective if applicable.

In row j., add the total project budget from LSTA, other funds, and in-kind support in column 4 (rows g., h., and i.), and show the grand total for the project from all sources of funds.

20. Narrative support for budget. This section must contain explanations of the program budget detail. Use this space to provide additional information about staffing, salaries, library materials, and operation. NOTE: Be sure to justify all equipment, both large and small, specifying what type will be purchased and how it will be used. In some institutions, indirect cost plans call for an indirect charge in excess of 10%. Regardless, an LSTA award will include an amount no higher than 10% of the LSTA portion of the total project cost. Any requirement in excess of 10% may be credited as an in-kind contribution in the budget (e.g., in the Operation line) or foregone. Use the space also to identify what other funds, and their source, will be available for the project and the nature of the in-kind support that will be provided.

Projects making use of contractual personnel should ensure that employment conditions for those staff members comply with the parent jurisdiction's practices, such as for tax withholding.

21. Certification. The person authorized to apply for federal funds on behalf of the applicant jurisdiction should sign and date the application. This may be the library director or another official, such as a contracts/grants officer, as determined locally. Application authors below the rank of library director must secure advance approval for a grant from their library administration. Note that the authorized official of a recipient organization must approve the submission of a proposal, be willing and able to administer extramural funds, and if receiving the grant, must accept responsibility for undertaking and supporting the project. For the successful grant applicant, this person will receive the award letter and subsequent official correspondence and warrants. (Note that the signatory is responsible for furnishing copies of project award and reporting materials to affected staff in the recipient organization). Supply all requested information and provide an original signature on the first copy of the application.

Do not enter names of "partners" in this section. Be sure the name and address shown here correspond to those of the applicant and authorized signatory. The award letter packet will include other necessary documents for signature, including a nondiscrimination clause addendum and a civil rights certificate.

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